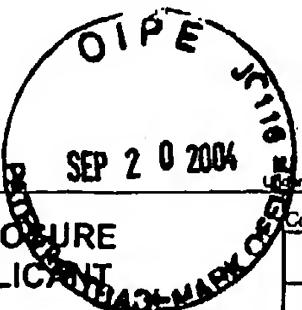


Substitute for form 1449A/PTO
**INFORMATION DISCLOSURE
 STATEMENT BY APPLICANT**
(Use as many sheets as necessary)



Approved for use through 10/31/2002, OMB 851-0031
 US Patent & Trademark Office: U.S. DEPARTMENT OF COMMERCE
 Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Complete if Known	
Application Number	10/054,665
Filing Date	January 22, 2002
First Named Inventor	Engelhardt, John
Group Art Unit	1636
Examiner Name	Guzo, David
Sheet 1 of 3	
Attorney Docket No: 875.007US2	

US PATENT DOCUMENTS						
Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate
JR	US-2002/0131956 A1	09/19/2002	Walsh, C. E., et al.	424	93.2	03/12/2002
JR	US-2003/0103939 A1	06/05/2003	Engelhardt, J. E., et al.	424	93.2	07/12/2002
JR	US-5,604,090	02/18/1997	Alexander, Ian E., et al.	435	5	06/06/1994
JR	US-5,834,182	11/10/1998	Alexander, Ian E., et al.	435	5	02/25/1997
JR	US-6,156,303	12/05/2000	Russell, D. W., et al.	424	93.2	06/11/1997
JR	US-6,287,569	09/11/2001	Kipps, T. J., et al.	424	199.1	04/06/1998
JR	US-6,436,392	08/20/2002	Engelhardt, John F., et al.	424	93.2	03/25/1999
JR	US-6,544,786	04/08/2003	Xiao, Xiao , et al.	435	325	10/13/2000

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T ²
JR	WO-95/15384A1	06/08/1995	Johnson, D. C., et al.	C12	1538	
JR	WO-98/24479A1	06/11/1998	Snyder, R., et al.	A61K	48/06	
JR	WO-00/75365A2	12/14/2000	Engelhardt, J. F., et al.	C12	1/00	
JR	WO-01/25465A1	04/12/2001	Engelhardt, J. F., et al.	C12	15/864	
JR	WO-01/83692A2	11/08/2001	Hildinger, M. , et al.	C12		
JR	WO-03/006616A2	01/23/2003	Engelhardt, J. F., et al.	C12		

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
JR		"PCT International Search Report from International Application No. PCT/US02/21926", (10/15/2002),4 pages	
JR		BARTLETT, J S., et al., "Targeted adeno-associated virus vector transduction of nonpermissive cells mediated by a bispecific F(ab'gamma)2 antibody", <u>Nature Biotechnology</u> , 17, (1999),pp. 181-186	

EXAMINER

David Guzo

DATE CONSIDERED

10/29/04

Substitute Disclosure Statement Form (PTO-1449)

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>		Complete if Known Application Number 10/054,665 Filing Date January 22, 2002 First Named Inventor Engelhardt, John Group Art Unit 1636 Examiner Name Guzo, David	
Sheet 2 of 3		Attorney Docket No: 875.007US2	

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
JR		CHU, Q , et al., "Binding and uptake of Cationic Lipid: pDNA Complexes by Polarized Airway Epithelial Cells", <u>Human Gene Therapy</u> , 10, (1999),pp. 25-36	
JT		COONROD, A , et al., "On the mechanism of DNA transfection: efficient gene transfer without viruses", <u>Gene Therapy</u> , 4, (1997),pp. 1313-1321	
JT		DUAN, DONGSHENG , et al., "Dynamin is required for recombinant adeno-associated virus type 2 infection", <u>J of Virology</u> , Vol. 73, No. 12, XP002154342, (Decmeber 1999),10371-10376	
JT		DUAN, D , et al., "Response to "Polarity Influences the Efficiency of Recombinant Adenoassociated Virus Infection in Differentiated Airway Epithelia'", <u>Human Gene Therapy</u> , 10, (1999),pp. 1553-1557	
JT		FASBENDER, AL , et al., "Complexes of adenovirus with polycationic polymers and cationic lipids increase the efficiency of gene transfer in vitro and in vivo", <u>The Journal of Biological Chemistry</u> , 272 (10), (March 7, 1997),6479-6489	
JT		FERRARI, F K., et al., "Second-Strand Synthesis Is a Rate-Limiting Step for Efficient Transduction by Recombinant Adeno-Associated Virus Vectors", <u>Journal of Virology</u> , 70 (5), (1996),pp. 3227-3234	
JT		FISHER, K J., et al., "Transduction with Recombinant Adeno-Associated Virus for Gene Therapy Is Limited by Leading-Strand Synthesis", <u>Journal of Virology</u> , 70 (1), (1996),pp. 520-532	
JT		GABIZON, ALBERTO , "Long-circulating liposomes for drug delivery in cancer therapy: a review of biodistribution studies in tumor-bearing animals", <u>Advanced Drug Delivery Reviews</u> , (1997),337-344	
JT		GOTTLIEB, T A., et al., "Actin Microfilaments Play a Critical Role in Endocytosis at the Apical but not the Basolateral Surface of Polarized Epithelial Cells", <u>The Journal of Cell Biology</u> , 120 (3), (1993),pp. 695-710	
JT		KAPLAN, JOHANNE M., et al., "Potentiation of gene transfer to the mouse lung by complexes of adenovirus vector and polycations improves therapeutic potential", <u>Human Gene Therapy</u> , Vol. 9, No. 10, XP000972242, (July 1, 1998),1469-1479	
JT		LEBKOWSKI, J. , "Adeno-Associated Virus: a Vector System for Efficient Introduction and Integration of DNA into a Variety of Mammalian Cell Types", <u>Molecular and Cellular Biology</u> , Vol. 8, No. 10,(October 1988),3988-3996	
JT		LIANG, E. , et al., "Oligonucleotide delivery: a cellular prospective", <u>Pharmazie</u> , Vol. 54, No. 8, XP000965598, (Aug. 1999),559-566	
JT		MAH, C , et al., "Adeno-Associated Virus Type 2-Mediated Gene Transfer: Role of Epidermal Growth Factor Receptor Protein Tyrosine Kinase in Transgene Expression", <u>Journal of Virology</u> , 72 (12), (1998),pp. 9835-9843	
JT		PICKLES, R J., et al., "Limited Entry of Adenovirus Vectors into Well-Differentiated Airway Epithelium Is Responsible for Inefficient Gene Transfer", <u>Journal of Virology</u> , 72 (7), (1998),pp. 6014-6023	

EXAMINER

David Guzo

DATE CONSIDERED

10/24/01

<p>Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i></p>		Complete if Known	
		Application Number	10/054,665
		Filing Date	January 22, 2002
		First Named Inventor	Engelhardt, John
		Group Art Unit	1636
		Examiner Name	Guzo, David
Sheet 3 of 3		Attorney Docket No: 875.007US2	

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No'	Include name of the author (In CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
DR		RUSSELL, D W., et al., "DNA synthesis and topoisomerase inhibitors increase transduction by adeno-associated virus vectors", <u>PNAS</u> , <u>92</u> , (1995),pp. 5719-5723	
DR		SANLIOGLU, S , et al., "Cellular redox state alters recombinant adeno-associated virus transduction through tyrosine phosphatase pathways", <u>Gene Therapy</u> , <u>6</u> , (1999),pp. 1427-1437	
JP		TERAMOTO, S. , et al., "Factors influencing adeno-associated virus-mediated gene transfer to human cystic fibrosis airway epithelial cells: comparison with adenovirus vectors", <u>J. of Virology</u> , Vol. 72, No. 11, XP002154339, (Nov. 1998),8904-8912	
DR		VIHINEN-RANTA, M , et al., "Intracellular Route of Canine Parvovirus Entry", <u>Journal of Virology</u> , <u>72</u> (1), (1998),pp. 802-806	
DR		WALTERS, R W., et al., "Basolateral Localization of Fiber Receptors Limits Adenovirus Infection from the Apical Surface of Airway Epithelia", <u>The Journal of Biological Chemistry</u> , <u>274</u> (15), (1999),pp. 10219-10226	
DR		WICKHAM, T J., et al., "Adenovirus targeted to heparan-containing receptors increases its gene delivery efficiency to multiple cell types", <u>Nature Biotechnology</u> , <u>14</u> , (1996),pp. 1570-1573	
DR		WICKHAM, T J., et al., "Targeted Adenovirus Gene Transfer to Endothelial and Smooth Muscle Cells by Using Bispecific Antibodies", <u>Journal of Virology</u> , <u>70</u> (10), (1996),pp. 6831-6838	
DR		XIAO, W , et al., "Adeno-Associated Virus as a Vector for Liver-Directed Gene Therapy", <u>Journal of Virology</u> , <u>72</u> (12), (1998),pp. 10222-10226	
DR		YANG, JUSAN , et al., "Concatamerization of adeno-associated virus circular genomes occurs through intermolecular recombination", <u>J. of Virology</u> , <u>73</u> (11), (Nov. 1999),pp. 9468-9477	
DR		ZABNER, J , et al., "Adenovirus-Mediated Gene Transfer to Ciliated Airway Epithelia Requires Prolonged Incubation Time", <u>Journal of Virology</u> , <u>70</u> (10), (1996),pp. 6994-7003	
DR		ZABNER, J , et al., "Adenovirus-mediated generation of cAMP-stimulated Cl- transport in cystic fibrosis airway epithelia in vitro: effect of promoter and administration method", <u>Gene Therapy</u> , <u>3</u> , (1996),pp. 458-465	

EXAMINER

*David Guzo*DATE CONSIDERED *10/29/04*